

**BUSINESS MANAGEMENT AUDIT MATRIX REPORT**

BUSINESS MANAGEMENT PROCESS MATRIX REPORT												
Audit Year											Site / Location	
											<sup>5</sup> Issue Date	
<sup>6</sup> Type of Certification Structure: Single site W/ ISO 9001												
Scope of Certification	<p><b>NOTE Audit # is the sequence to do the audit and collect data to be used in other audits ie Job is Customer but was Sales And Quote# and maybe from Design – Production is first as audit 6 to 9 come from the production floor as well. High lighted Yellow boxes indicate who supplies the information to record.</b></p>											
	ORGANIZATION QMS PROCESSES											
	1	2	3	4	5	6	7	8	9	10	11	
<sup>8</sup> Process Name / Shift (All Processes need to be reviewed but not necessarily on all shifts unless NCR's issued than all shifts)	Management	Sales / Contracts	Design	Purchasing	Production {Can be broken down to activities – Machining, Sand Milling, Sand Blast, NDT etc.}	HR	Calibration	Documents/ Records	Maintenance	Support could combine the audits of 6, 7, 8 & 9		
<sup>9</sup> Status (Pass – NCR's Issued) Team (-) / Month / Shift Completed ## = sequence to audit	#5	#4	#3	#2	# 1 {Should be individual smaller audits}	#6	#7	#8	#9	6 - 9		
<sup>10</sup> TEAM''	NCR's Issued	<sup>12</sup> PROCESS APPLICATION										
a		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Yellow = Areas to audit per the defined Process		<sup>14</sup> Conformity										<sup>15</sup> NCR Number and Classification		
		1	2	3	4	5	6	7	8	9	10			
<b>4.</b>	<b>Context of the Organization</b>													
4.1	Understanding the Organization and its Context													
4.2	Understanding the Needs and Expectations of Interested Parties													
4.3	Determining the Scope of the Quality Management System													
4.4	Quality Management System and its Processes													
<b><sup>16</sup>Summary of Objective Evidence:</b>														
4.1														
4.2														
4.3														
4.4														
<b>5.</b>	<b>Leadership</b>													
5.1	Leadership and Commitment													
5.1.1	General													
5.1.2	Customer Focus													
5.2	Policy													
5.2.1	Establishing the Quality Policy													
5.2.2	Communicating the Quality Policy													

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5.3	Organizational Roles, Responsibilities, and Authorities													
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**<sup>16</sup>Summary of Objective Evidence:**  
 5.1  
 5.2  
 5.3

<b>6.</b>	<b>Planning</b>													
6.1	Actions to Address Risks and Opportunities		All processes have risks – who determines											
6.2	Quality Objectives and Planning to Achieve Them		Are employees aware of the process performance – OTD in Production Supplier performance in Purchasing											
6.3	Planning of Changes													

**<sup>16</sup>Summary of Objective Evidence:**  
 6.1  
 6.2  
 6.3

		<sup>14</sup> Conformity												<sup>15</sup> NCR Number and Classification	
		1	2	3	4	5	6	7	8	9	10	11	12		
<b>7.</b>	<b>Support</b>														
7.1	Resources														
7.1.1	General														
7.1.2	People														
7.1.3	Infrastructure		What is the infrastructure the people work in? Stressful,												

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			Lighting etc									
7.1.4	Environment for the Operation of Processes		What is the environment the people work in?									
7.1.5	Monitoring and Measuring Resources		Calibration									
7.1.6	Organizational Knowledge		IS cross training going on so only a few people know a process or operation?									
7.2	Competence		Assessment of employees – like annual reviews and training									
7.3	Awareness		Are employees aware of KPI's, Policy, Ethics									
7.4	Communication		Communication to all employees – when - what is discussed etc.									
7.5	Documented Information		Doc and Data Control									
7.5.1	General											
7.5.2	Creating and Updating											
7.5.3	Control of documented information											
<b><sup>16</sup>Summary of Objective Evidence:</b> 7.1 / 7.1.6 / 7.2 / 7.1.3 7.1.4 7.1.5 7.3 7.4 7.5												

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8.	Operation													
8.1	Operational Planning and Control													
8.1.1	Operational Risk Management (C)													
8.1.2	Configuration Management													
8.1.3	Product Safety (C)													
8.1.4	Prevention of Counterfeit Parts													
8.1.5	Prevention of Suspected Unapproved Parts (A)													
8.1.6	Installation of Approved Parts (A) (C)													
8.2	Requirements for Products and Services													
8.2.1	Customer Communication													
8.2.2	Determining the Requirements for Products and Services													
8.2.3	Review of the Requirements for Products and Services													
8.2.4	Changes to Requirements for Products and Services													
8.3	Design and Development of Products and Services													
8.3.1	General													
8.3.2	Design and Development Planning													
8.3.3	Design and Development Inputs													
8.3.4	Design and Development Controls													
8.3.4.1	Design and Development Controls (B) (C)													
8.3.5	Design and Development Outputs													

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8.3.6	Design and Development Changes													
8.4	Control of Externally Provided Processes, Products, and Services													
8.4.1	General													
8.4.2	Type and Extent of Control													
8.4.3	Information for External Providers													
8.5	Production and Service Provision													
8.5.1	Control of Production and Service Provision													
		<sup>14</sup> Conformity												<sup>15</sup> NCR Number and Classifi cation
		1	2	3	4	5	6	7	8	9	10	11	12	
8.5.2	Identification and Traceability													
8.5.3	Property Belonging to Customers or External Providers													
8.5.4	Preservation													
8.5.5	Post-delivery Activities													
8.5.6	Control of Changes													
8.6	Release of Products and Services													
8.7	Control of Nonconforming Outputs													

<b>9.</b>	<b>Performance Evaluation</b>													
9.1	Monitoring, Measurement, Analysis, and Evaluation													
9.1.1	General													
9.1.2	Customer Satisfaction													

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9.1.3	Analysis and Evaluation													
		<sup>14</sup> Conformity												<sup>15</sup> NCR Number and Classification
		1	2	3	4	5	6	7	8	9	10	11	12	
9.2	Internal Audit													
9.3	Management Review													
9.3.1	General													
9.3.2	Management Review Inputs													
9.3.3	Management Review Outputs													
<sup>16</sup> Summary of Objective Evidence: 9.1 9.2 9.3														

<b>10.</b>	<b>Improvement</b>													
10.1	General													
10.2	Nonconformity and Corrective Action	CAR or NCP tracked and addressed												
10.3	Continual Improvement													
<sup>16</sup> Summary of Objective Evidence: 10.1 / 10.3 - 10.2														
<sup>17</sup> Auditor Name(s)														

Place an "X" in each applicable box to correspond to the audit